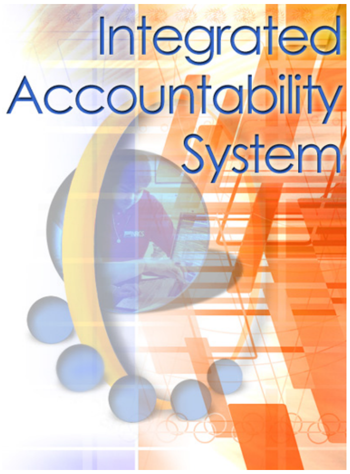
USDA NRCS
Natural Resources Conservation Service



Natural Resources
Conservation Service

Integrated Accountability System

IAS Next Generation

FSA Compliance Status Reviews (Version 1.0. 1-12-2004)

January 2004

Table of Contents

Errata Sheet

The CSR guide is in initial draft form. Revisions will be noted as it progresses:

- Initial draft prepared (12/31/2003).

General

Compliance reviews are conducted on a yearly basis with a national sample of farm tracts provided to the States. The national sample of farm tracts is derived from records kept by the Farm Service Agency in a Kansas City mainframe. The sample size is approximately 1 percent of the farm tracts in the mainframe. The tracts are provided to the States on January 1 and they can conduct the compliance review at any time during the year. The compliance review determinations must be available to NHQ by December 1.

The States have the obligation to add additional farm tracts to the sample set according to the 1985 Food Security Act Manual. The compliance review determination is selected from a list of 12 HEL and 3 Wetlands determinations. Other information collected by the tracking system are the time spent conducting the review, the number of acres in the tract, and the category identifying why the tract was reviewed.

Compliance reviews are conducted to ensure that farms receiving commodity payments are implementing and/or maintaining conservation practices.

Accessing FSA Compliance Reviews and other IAS applications

Currently, the Compliance Review program is used by NRCS employees to record FSA Compliance Status Reviews

There are some requirements for setting your browser (IE6) correctly to run Compliance Reviews. Do the following:

1. Select **Tools** on the browser window.
2. Select **Internet Options**.
3. Click the **Security Tab**.
4. Choose **Custom Level** and then **Miscellaneous**.
5. Find “Access data sources across domains.”
6. Set it to Enable.

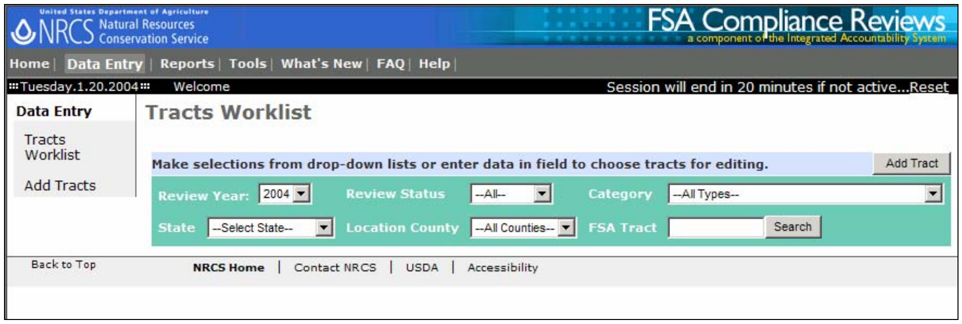
After making these browser adjustments, CSR is accessed through a link at the “Accountability” tab at my.nrcs or from the IAS Home Page.

Obtaining an eGov account through eAuth

You must have an eGovernment Account to access IAS applications. NRCS employees use the same login and password for Compliance Reviews that they use for WebTCAS. Select FSA Compliance Reviews from my.NRCS, Accountability or from the IAS Home Page.

Data Entry

Using the Compliance Tracts Worklist



The worklist is intended to provide a quick method of finding and completing tract records selected for review.

1. On the Data Entry menu, select **Tract Worklist**.
2. The list will default to the states in your profile. Select the set of records you wish to work with by choosing options from the drop-down lists at the top of the screen. At a minimum, you must select one state. Refer to the description of selection filters below:
3. Click **Search** to generate the worklist.
4. Once the list is displayed, click the FSA Tract number of the record you wish to review.

Selection filters

There are several selection filters. You must select a state, if you have multiple states in your profile. Otherwise, selection criteria are optional. The more criteria you specify, the shorter your list will be.

Review Year: The Review Year is preset to the current review year for state and field personnel.

State: Due to the volume of records, only records for one state can be viewed at a time.

Location County: Select one or all counties for the State to list tracts located in each county identified by FIPS code in the sample data.

Category: Category identifies the reason the tract was selected for review. The following categories exist:

R tract selected by NRCS from the NCC based on a random sample
V tract added due to a prior year variance.
U tract owned or operated by a USDA employee.
A tract added due to a reinstatement requested, tract referred by another USDA agency, whistleblowers, potential violations observed by NRCS, or other additions.
T technical assistance variance

Note: Categories R and V are made available by NHQ. Categories U, A, and T are choices for additional tracts entered by State or Field offices.

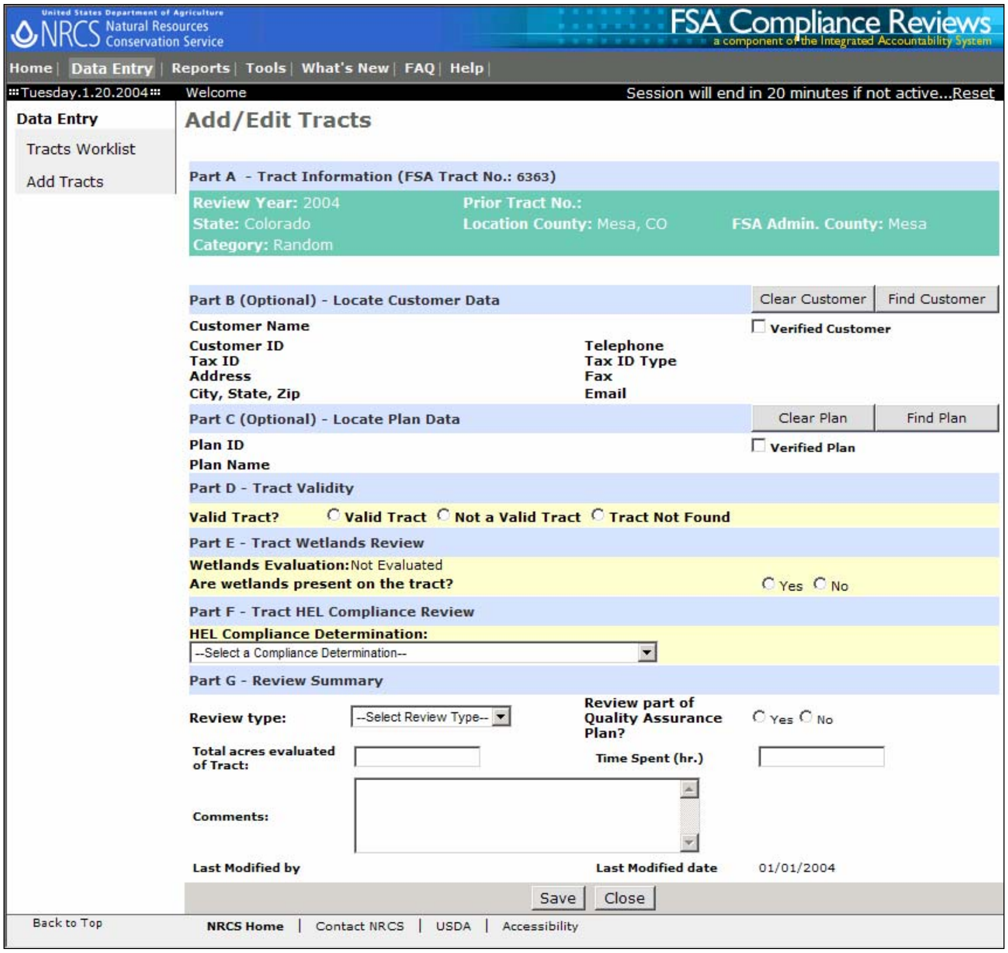
Review status: Select one or all four tract statuses listed below.

Incomplete: Status assigned to records that do not have enough information to be considered complete. Records generated as part of the random sample are assigned an Incomplete Status.
Complete: When all required fields on the record have been completed and saved, Tract Status is changed to Complete. If required field data is deleted on a later edit, the record will be reset to Incomplete.
Reconstituted: This is a type of Complete Record. When a tract is assigned new tract number(s), data is no longer required to complete the original record. The Record is saved as Reconstituted, without a requirement that all fields be complete.
New: This is a type of Incomplete Record. A new record is generated as a result of a Tract reconstitution or new tract number(s), it is assigned a status of New. The first time the record is edited and saved, it is changed to Incomplete or Complete as appropriate.

FSA Tract number: List a specific tract by entering the FSA Tract number.

Completing the Tract Review Form

The Tract Review data entry form has several parts.



Part A – Tract Information – This section displays tract information the user receives as part of the random sample, or information the user is required to enter when adding a tract.

Part B – (Optional) Locate Customer Information – This section associates customer information with the tract. Preliminary information is input based on customer payment information associated with the tract.

Part C – (Optional) Locate Plan Information – This section associates plan information in Toolkit with the tract.

Part D – **Tract Validity** – This section records whether the tract is still valid. If the tract is not valid, additional information is required to explain why not.

Part E – **Tract Wetlands Review** – This section records whether wetlands are present on the tract. If so, additional information is required to determine compliance.

Part F – **Tract Compliance Review** – This section records the HEL compliance determination. If the determination code is 'Plan Not Needed' or 'Compliance Review Not Completed' additional explanation must be given.

Part G – **Review Summary** – This section records overall review results. All fields, except comments, must be filled and saved before the review is marked as complete.

Tract Review Form Data Entry Parts:

Tract Information

Tract information is supplied from the FSA database for records generated in the random sample. Tract information is entered through the Add Tract option for records added by state personnel.

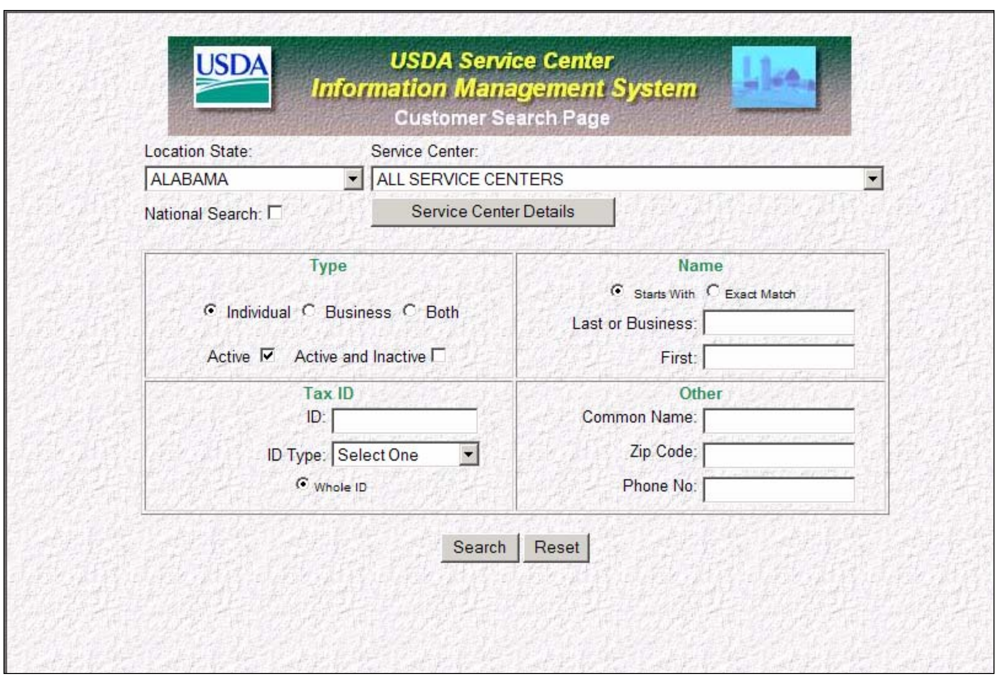
Part A - Tract Identification Information				
FSA Tract No.:	123456	Prior Tract No.:		
Review Year	2004	State:		Colorado
Location County:	Larimer	FSA Administrative County:		Larimer
Category:	R-Tract selected by NRCS from the NCC based on random sample			

Locate Customer Information

Customer Information is pulled from the customer database (SCIMS), if possible. Now that a centralized database will allow multiple years of data to be stored, customer information can be entered for future reference. This is intended to save field personnel research time, when they are recording information for tracts they expect to encounter in the following years' reviews. For example, rereview may be required on tracts with violations, variances, or ownership by USDA employees.

Part B (Optional) - Locate Customer Data		Clear Customer / Find Customer
Customer Name		Verified Customer
Customer ID	Telephone	
Tax ID	Tax ID Type	
Address	Fax	
City, State, Zip	Email	

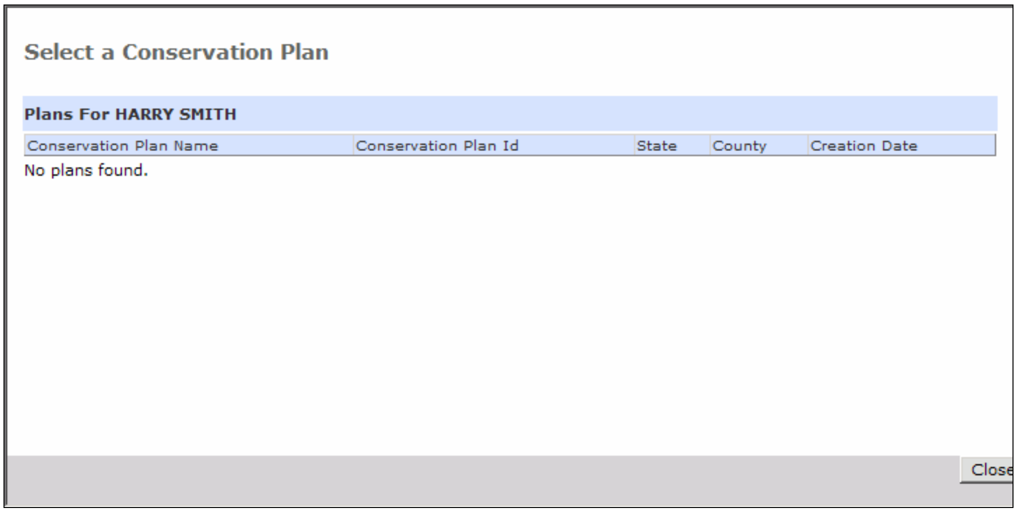
If customer data can be associated with the tract, it will be displayed. If not, and you wish to associate it, use the Find Customer button to find the customer. It will take you to the Customer Database (SCIMS). The Clear Customer button is used to remove erroneous customer information.



Locate Plan Data

If only one plan exists in Toolkit for a customer, it will be shown. If multiple plans exist, click the Find Plan button. Again, this is optional information to save research time in future years.

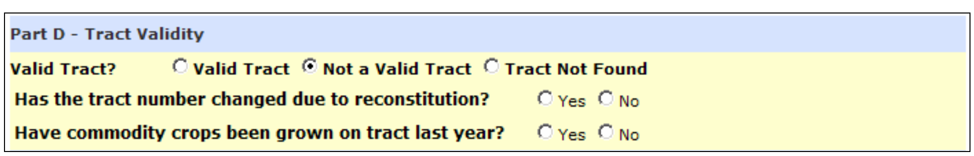
When you click the Find Plan button, a popup is presented to allow plan selection.



Click the Plan ID to associate the plan with the record. If no plans are associated, they may not exist in the Toolkit database.

Tract Validity

The Tract Validity section initially contains one question: Valid Tract? There are three possible responses: Valid Tract, Not a Valid Tract, or Tract Not Found. Mark the corresponding radio button. If the tract is valid, no further information needs to be completed in this section. If the tract is not valid, or not found, the section expands and additional fields must be completed.



1. Answer the Valid Tract? If valid tract is selected, skip to Wetlands Review. If other buttons are selected continue with step 2.
2. Indicate whether tract was reconstituted by marking Yes or No.
   Tracts can be reconstituted due to replacements or splits. If yes is marked, additional data is requested.

Part D - Tract Validity

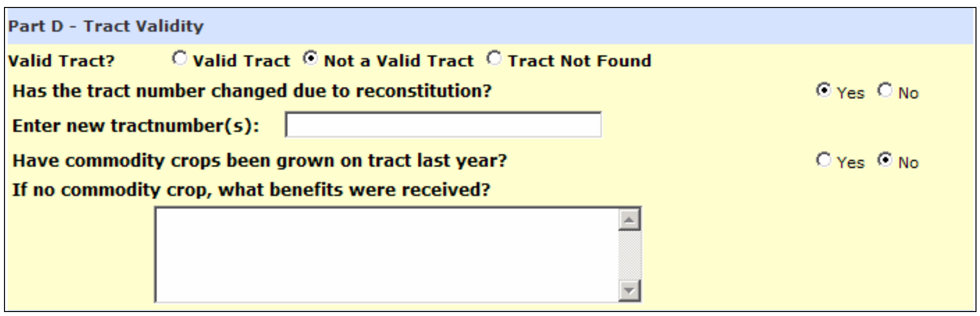
Valid Tract? Valid Tract / Not a Valid Tract / Tract Not Found

Has the tract number changed due to reconstitution? Yes No

Enter new tractnumber(s):

Have commodity crops been grown on tract last year? Yes No

3. If reconstituted, enter the new tract number or numbers separated by commas. **Note:** When the tract is saved, new tract records will be created for the tract numbers entered. They will have a Tract Status of New, until they are edited and saved. If a tract is reconstituted, review detail is entered on the new tracts created by this process. You can skip sections of the Tract Review form that will be entered on those tracts instead. When the page is saved, the status will change from Incomplete to Reconstituted. A reconstituted tract is considered complete, since the review detail is entered on the new tract.
4. Indicate whether commodity crops were grown on the tract in the past year by marking Yes or No. If no is marked, additional data is requested.



Part D - Tract Validity

Valid Tract? Valid Tract / Not a Valid Tract / Tract Not Found

Has the tract number changed due to reconstitution? Yes No

Enter new tractnumber(s):

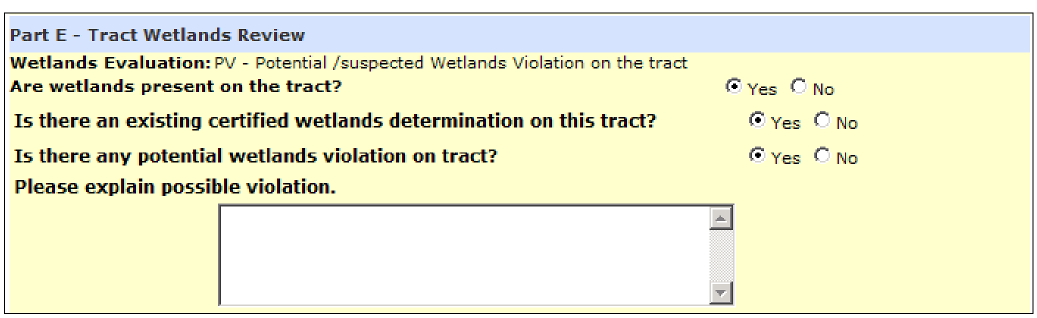
Have commodity crops been grown on tract last year? Yes No

If no commodity crop, what benefits were received?

5. If no commodity crops were grown, explain the benefits received in the comments box.

Wetlands Review

The Wetlands Review section initially contains one question: Are wetlands present on the Tract? If wetlands are present, the section expands and additional questions must be completed.



Part E - Tract Wetlands Review

Wetlands Evaluation: PV - Potential /suspected Wetlands Violation on the tract

Are wetlands present on the tract? Yes No

Is there an existing certified wetlands determination on this tract? Yes No

Is there any potential wetlands violation on tract? Yes No

Please explain possible violation.

1. Indicate presence of wetlands by marking Yes or No. If no, go to Compliance Review section. If yes, continue with step 2.
Note: The Wetlands Determination code is automatically set based on responses to the Wetlands Review section. Possible determinations are: NW—no wetlands, NWV—no wetlands violation, or PV—possible wetlands violation. Indicate

whether there is an existing wetlands certification for the tract by marking Yes or No.
2. Indicate whether there is a potential violation by marking Yes or No.
3. If a potential violation exists, use the comments box to explain it.

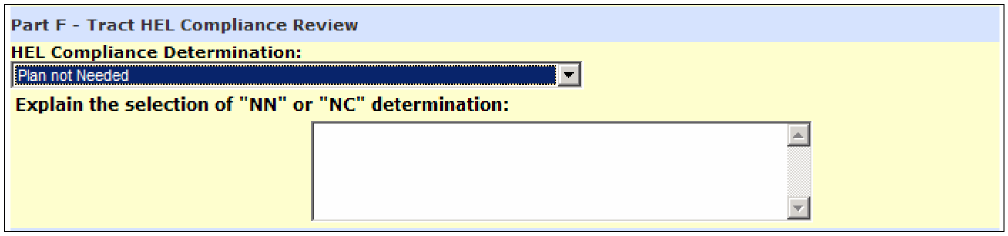
HEL Compliance Review

The Compliance Review section initially contains only a drop-down box from which the determination code is selected. The possible codes are described below.

Determination codes:

AA	Actively applying an approved conservation plan – An approved conservation plan is being applied on all HEL fields on the tract, or an approved conservation plan is being applied on some HEL fields on the tract, and the previously treated HEL field(s) is/are using an approved conservation system, or systems.
AC	Variance because of severe and unusual conditions - Applying an approved conservation plan, or using an approved conservation system with a temporary variance. The temporary variance should be due to special conditions, including severe weather, pests, or disease which prohibited or changed the application of the required scheduled conservation practices.
AE	Variance because of economic hardship – Applying an approved conservation plan or using an approved conservation system with an exemption based on economic hardship as determined by the FSA County Committee and approved by the State Committee.
AG	Exemption based on a Good Faith Determination – Applying an approved conservation system with an exemption based on a good faith determination by the FSA County Committee.
AH	Variance because of extreme personal hardship – Applying an approved conservation plan or using an approved conservation system with a variance because of a special problem, technical error, incorrect plan, or unusual occurrence prohibited the application of the required scheduled practices(s).
AM	Variance with a minimal or technical effect – Applying an approved or an approved conservation system with a variance based on failure which is technical and minor in nature.
CA	Conditionally applying an approved conservation plan or system.
NA	Not actively applying an approved conservation plan or using an approved conservation system.
NC	Compliance Review Not Coducted. There may be circumstances that didn't allow the review to be conducted.
NN	No conservation plan is required. There are no HEL fields on the tract, or the tract is not planted to an agricultural commodity, or the tract is not in agriculture use
TA	Exemption(s) used for tract(s) when deficiencies are found while providing technical assistance.

UA All of the conservation plan practices, or the approved conservation systems are being maintained to the required specifications and standards



1. Select a determination from the drop-down list. If the determination code is ‘Plan not needed’, (NN), or ‘Compliance Review Not Conducted’, (NC), the section will expand.
2. Enter comments explaining why a plan is not needed or a review was not conducted.

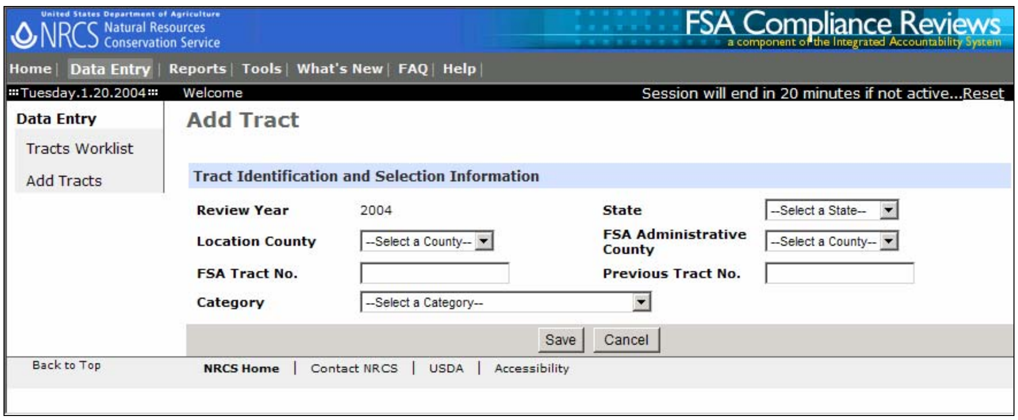
Review Summary

Several fields must be completed before the tract review is considered complete.

1. Select Review Type, Partial or Full, from the drop-down list. Partial review is used for tracts that received a variance last year or whistleblower complaint.
2. Was review part of a state quality assurance plan? Mark Yes or No.
3. Enter total acres on the tract that was reviewed.
4. Enter time spent conducting the review.
5. Enter any comments pertinent to the findings.
6. Last Modified information will be entered automatically.
7. Click **Save**.
8. The Tracts Worklist is redisplayed. You can check the tract Review Status to determine whether the tract is complete as saved.

Adding a Tract

Under the old system, it was necessary to add new tracts manually when a tract was reconstituted. In addition, tracts with violations in the past year that needed to be reviewed again had to be manually added. The new system has mechanisms for creating new tracts when a tract is marked as reconstituted. It can also determine those tracts that had violations in the previous year. Consequently, it will not be necessary to add as many tracts at the state level. However, there will be some instances when this is desirable and the Add Tract option allows this.



1. Click **Add Tract** on the Data Entry page or on the header bar for the Tracts Worklist.
2. Review Year defaults to current year.
3. Enter the State (only states in your user profile can be entered).
4. Enter the Location County by selecting from the list.
5. Enter the FSA Administrative County from list (office conducting the review may vary from the tract location in some states).
6. Enter the FSA Tract Number.
7. Enter the Previous Tract Number, if any.
8. Select the Category from the drop-down list.
   Note: R (random) is not a valid code for manually entered tracts.
   Category: Category identifies the reason the tract was selected for review. The following categories exist:
   U tract owned or operated by a USDA employee.
   V tract added due to a prior year variance.
   A tract added due to a reinstatement requested, tract referred by another USDA agency, whistleblowers, potential violations observed by NRCS, or other additions.
   T technical assistance variance
9. Click **Save**. The Edit Tract page will be displayed for you to continue with entry of review detail.
10. Complete the Edit Tract page as described in **Completing the Tract Review Form**.

Tools

The tools menu has basic options pertinent to Compliance Status Reviews. Not all options appear on all users menus. All options are discussed. If you need information from an application that you do not have access to, contact your state coordinator.

Reports

Several reports will be created for the FSA Compliance Reviews. The reports will assist you in seeing what tract reviews are still outstanding, what determinations have been found, and what percentage of your review workload is complete at any time throughout the year.

The same reports will be available on both a county and statewide basis for State Coordinators. These reports and additional reports will be available to the National Coordinator.

Specific reports with samples will be shown when available. The first scheduled report form is the CPA-18.